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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appellant: **Gavin BREBNER**) Examiner: Dustin NGUYEN
Serial No.: **09/765,067**) Art Unit: 2154
Filed: January 18, 2001) Our Ref: 50990036-2 US
For: "PROCESS AND APPARATUS FOR) B-4081 618511-7
ALLOWING TRANSACTION) Date: May 17, 2006
BETWEEN A USER AND A REMOTE) Re: *Appeal to the Board of Appeals*
SERVER")

BRIEF ON APPEAL

Mail Stop Appeal Brief - Patents
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This is an appeal from the Final rejection, dated May 26, 2005, for the above identified patent application. Appellant submits that this Appeal Brief is being timely filed per the Notification of Non-Compliant Appeal Brief mailed on April 18, 2006 which sets an initial deadline for submitting the present Brief of May 18, 2006. This Brief is intended to replace the Brief previously submitted on February 2, 2006 in reply to the Notice of Panel Decision from Pre-Appeal Brief Review mailed on January 13, 2006, which had set an initial deadline for submitting a Brief of February 13, 2006. If required, please deduct the amount of \$500.00 for the fee set forth in 37 C.F.R. 1.17(c) for submitting this Brief from deposit account no. 08-2025.

REAL PARTY IN INTEREST

The real party in interest to the present application is Hewlett-Packard Development Company, LP, a limited partnership established under the laws of the State of Texas and having a principal place of business at 20555 S.H. 249 Houston, TX 77070, U.S.A. (hereinafter "HPDC"). HPDC is a Texas limited partnership and is a wholly-owned affiliate of Hewlett-Packard

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Company, a Delaware Corporation, headquartered in Palo Alto, CA. The general or managing partner of HPDC is HPQ Holdings, LLC.

RELATED APPEALS AND INTERFERENCES

There are no other appeals or interferences related to the present application.

STATUS OF CLAIMS

Claims 1 - 25 are the subject of this Appeal and are reproduced in the accompanying appendix.

STATUS OF AMENDMENTS

No Amendment After Final Rejection has been entered.

SUMMARY OF CLAIMED SUBJECT MATTER

The invention described and claimed in the present application relates generally to transactions conducted between two remote parties, such as a user may conduct with a server through the Internet, and more specifically to a process for facilitating such transactions for users who are not particularly versed in the use of computer (p. 3 ll. 5-9). In particular, the process aims to assist users in formulating requests by essentially completing the request of a user with missing information extracted from a local profile (p. 3 ll. 10-19). The local profile may be automatically built through the use of information such as that handled by the SMBIOS of the user's computer (p. 4 ll. 4-9). In one preferred embodiment, the user accesses the remote server through a standard web browser, and the process of the invention is implemented as a local agent running on the user's computer (p. 7 ll. 8-22), which may employ natural language analysis techniques to complete the user's query/request (p. 8 ll. 4-19). Thus, in a nutshell, the process of the invention allows a user to initiate a transaction such as enter a request to a server (for information, goods, service, etc. – the transaction itself is immaterial to the invention) in plain English and then enhances the request with additional information before passing the request on to the intended recipient (e.g. a search engine) (p. 13. l. 26 – p. 14 l. 23).

GROUND OF REJECTION TO BE REVIEWED ON APPEAL

Issue 1: Whether claims 2, 11-15, and 17 are indefinite under 35 U.S.C. §112 for failing to particularly point out and distinctly claim the subject matter which Applicants regard as the invention.

Issue 2: Whether claims 1-4, 6-15, 17-21 and 23-25 are unpatentable under 35 U.S.C. 103(a) over U.S. Pat. No. 6,578,142 to Anderson et al. (hereinafter "Anderson") in view of U.S. Pat. No. 6,102,969 to Christianson (hereinafter "Christianson").

Issue 3: Whether claims 5, 16 and 22 are unpatentable under 35 U.S.C. 103(a) over Anderson in view of Christianson and further in view of U.S. Pat. No. 6,598,169 to Warwick et al. (hereinafter "Warwick").

GROUPING OF CLAIMS

For each ground of rejection which Appellants contest herein and which applies to more than one claim, such additional claims, to the extent separately identified and argued below, do not stand or fall together.

ARGUMENT

Issue 1: Whether claims 2, 11-15, and 17 are indefinite under 35 U.S.C. §112 for failing to particularly point out and distinctly claim the subject matter which Applicants regard as the invention.

In section 11 of the final Office Action of May 26, 2005, the Examiner rejects claims 2, 11-15, and 17 under 35 U.S.C. §112 as being indefinite for failing to particularly point out and distinctly claim the subject matter which Appellant regards as the invention. In particular, the Examiner finds that the term "said profile" in claim 2 lacks antecedent basis. Thus, at the outset, Appellant submits that claims 11-15 and 17 are therefore clear and unambiguous because they do not in fact recite the objected-to term.

Appellant respectfully disagrees with the Examiner's view regarding claim 2, and in the previous reply Appellant explained that claim 2 recites "said profile" and is dependent from claim 1, which recites "a local profile" and therefore provides sufficient antecedent basis for "said profile" in claim 1. In section 2 of the final Action, the Examiner retorts that "the 'said profile' of claim 2 is *not as specific* as 'local profile' in claim 1" (paragraph 2 of the Final Action).

Lack of antecedent basis is not based upon an Examiner's subjectively perceived, relative specificity. "A claim is indefinite when it contains words or phrases whose meaning is unclear." MPEP 2173.05(e). There can be no reasonable doubt that "said profile" in claim 2 refers to the "local profile" of claim 1. The Examiner's unexplained, personal proclivity for more specificity notwithstanding, there is ample antecedent basis for "said profile" in claim 2 and Appellant respectfully requests that this rejection be overturned on appeal.

Issue 2: Whether claims 1-4, 6-15, 17-21 and 23-25 are unpatentable under 35 U.S.C. 103(a) over U.S. Pat. No. 6,578,142 to Anderson et al. (hereinafter "Anderson") in view of U.S. Pat. No. 6,102,969 to Christianson (hereinafter "Christianson").

In section 13 of the final Action the Examiner rejects claims 1-4, 6-15, 17-21 and 23-25 as being unpatentable under 35 U.S.C. 103(a) over Anderson in view of Christianson. In particular, with regards to claim 1, the Examiner finds that Anderson discloses all claimed elements with the exception of receiving an abstract request formulated at a client computer and containing incomplete information identifying a potential transaction. However, the Examiner alleges that Christianson discloses receiving an abstract request formulated at a client computer (col. 3, ll. 8-11 and col. 4, ll. 42-44) and containing incomplete information identifying a potential transaction (col. 2, ll. 58-61 and col. 3, ll. 12-17).

In the previous reply Appellant disagreed with the Examiner and explained that the passages cited by the Examiner teach that "in one aspect the invention includes a method for efficient access to information sources on a network comprising preferably ana [sic] or more of the following steps: receiving a user query for information" and that "the user interface module interacts with the user to receive user queries for information." Appellant explained that there is

nothing in these passages, nor indeed in any other passage in Christianson, that may be understood as disclosing the receiving of an abstract request formulated at a client computer. “Abstract request” as used in the present claims and read in light of the specification (see, e.g., page 7, line 32 to page 8, line 2) refers to a request for a transaction that only contains “some basic incomplete information” or “only partial information” for completing the requested transaction. The claim language itself clearly sets forth that the abstract request contains “incomplete information identifying a potential transaction.” There is nothing in Christianson discussing requests for transactions, nor discussing incomplete or only partial requests for transactions, information, or anything else for that matter.

The passages cited by the Examiner further teach that “information source responses are parsed and understood so that only the relevant data items are extracted for user presentation. Duplicate, stale, and irrelevant information items are discarded” and “determining the information sources most relevant to this query; retrieving a description of each information source; formatting the query according to this description in a manner suitable for each information source and transmitting the formatted query to the source; receiving responses from the information sources...” These passages have absolutely nothing to do with a user request, whether it’s for a transaction, for information, or for something completely different. These passages discuss Christianson’s approach to responding to the user’s request, and have no bearing whatsoever upon Applicant’s claimed limitations alleged by the Examiner to be disclosed by Christianson.

In section 4 of the final Action, the Examiner replies that “Christianson discloses a process of receiving a query from a client computer [31, Figure 3; and col 7, lines 41-42], a netbot acts as a user’s intelligent assistant which assists user in finding needed information from relevant information sources [col 4, lines 19-33], and the netbot doing so by adding additional information from the wrapper module to the query before forwarding to the information sources [col 8, lines 25-35; col 12, lines 2-20; and col 15, lines 19-65].” The Examiner thus once again completely ignores Applicant’s arguments and does not even allege that, much less cite to a specific portion of the specification where Christianson actually teaches, receiving an abstract request that contains incomplete information identifying a potential transaction. Appellant thus

respectfully submits that claim 1 is novel and nonobvious and requests that this claim be allowed on appeal.

Claims 2-9, and 14 depend from claim 1. "If an independent claim is nonobvious under 35 U.S.C. 103, then any claim depending therefrom is nonobvious." *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988). Therefore, in light of the above discussion of claim 1, Appellant submits that claims 2-9 and 14 are also allowable.

In section 22 of the final Action the Examiner once again rejects claim 10 "for similar reasons a stated above in claim 1." Appellant has explained in the previous reply that he cannot understand how the reasons for rejecting claim 10 can be similar to those for rejecting claim 1, in view of the fact that claim 10 recites limitations that are not recited by claim 1. Appellant thus noted that, for instance, claim 10 recites "detecting a condition of insufficient resources" whereas the Examiner had made no allegation of any of the cited references disclosing this limitation and a careful review of the references had failed to disclose such a limitation.

In reply to the above, the Examiner now asserts that "Anderson discloses detecting a condition of insufficient resources [i.e. detecting module for determining available bandwidth] [502, Figure 5; and col 12, lines 47-67]" (paragraph 6 of the final Action). Appellant is forced to surmise that the Examiner is therefore alleging that a "detecting module for determining available bandwidth" teaches "detecting a condition of insufficient resources" but fails to discern any support for the Examiner's assertion. How is "determining available bandwidth" the same as "detecting a condition of insufficient resources?" How is "available bandwidth" the same as "insufficient resources?" The Examiner is clearly assigning *ad hoc* (but convenient) definitions to the claims terms with no regard whatsoever to their plain meaning or that set forth in the specification. Appellant respectfully submits that claim 10 is in fact also novel and nonobvious in view of the art and requests that this claim also be allowed on appeal.

In section 23 of the final Action claim 11 is "rejected for similar reasons a stated above in claim 1." Appellant thus submits that claim 11 is in fact nonobvious and patentable for similar reasons as stated above with respect to claim 1, and respectfully requests that claim 11 also be allowed.

Claims 12-13 and 15 depend from claim 11, and Appellant submits that these claims are therefore also allowable based on their dependency on an allowable claim.

Claims 17-21 and 23-25 are also variously rejected “for similar reasons as stated above” in claim 1 and others. Appellant thus submits that the previous discussion of claim 1 is responsive to all of these rejections, and respectfully requests that the rejection of claims 17-21 and 23-25 also be overturned on appeal.

Issue 3: Whether claims 5, 16 and 22 are unpatentable under 35 U.S.C. 103(a) over Anderson in view of Christianson and further in view of U.S. Pat. No. 6,598,169 to Warwick et al. (hereinafter “Warwick”).

Claims 5, 16 and 22 stand rejected under 35 U.S.C. 103(a) as being unpatentable over Anderson in view of Christianson and further in view of Warwick. In particular, the Examiner continues to allege that Warwick discloses that profile parameters are collected by means of an interrogation via DMI or WMI, citing to the Abstract. Appellant endeavored in the previous reply to direct the Examiner’s attention to the rest of this reference, which, just like the abstract, does not contain the terms “profile” or “transaction” even once. The abstract itself informs the careful reader that “[t]he WMI system provides an interface through which instrumented components, such as hardware devices, can provide information and notification to management applications in user mode through a consistent management information store.” The very first sentence of the abstract clearly informs the reader that the invention disclosed therein “provides a mechanism for exposing to user mode applications the features and information enabled by the Advanced Configuration and Power Interface (“ACPI”) specification.” As those skilled in the art already know, and those who do not can learn from the Background section of Warwick if they are so inclined, the ACPI specification is an open-industry specification “that defines an interface to a computer system board that enables the operating system to implement operating-system directed power management and system configuration.” There is simply nothing in Warwick even remotely connected or connectable to a method of collecting data representative of a computer profile for achieving an electronic business transaction. The Examiner’s assertion that the skilled person would have been motivated to combine Christianson, Anderson, and Warwick “because Warwick’s teaching would provide an interface for mapping of data from diverse data

sources in a common, normalized and logically organized way, and enables correlation and associations between the management data regardless of type, content, or source of origin” helps shed no light onto how combining these three references would result in the subject matter of claim 16. Appellant does not argue that mapping data from diverse data sources in a common, normalized and logically organized way is probably a worthwhile goal, but can see no correlation between the desire to achieve this goal and the claimed method. Enabling correlation and associations between management data regardless of type, content, or source of origin may be equally desirable to some but is equally irrelevant to the claimed methods.

The Examiner presently retorts to the above by now alleging that “Warwick discloses the above limitation [i.e. querying for management information associated with devices and store in storage 209 [Figure 2; and col 2, lines 49-65] and the task can be performed in a distributed computing environment or remote computer [col 4, lines 1-7] (paragraph 8 of the Final Action). Applicant is once again forced to surmise that the Examiner is thus alleging that “querying for management information associated with devices and store in storage” is anticipatory of “collecting data representative of a computer profile for achieving an electronic business transaction” and once again fails to find any support offered by the Examiner to shore up this allegation. Appellant contests that not only is “querying for management information associated with devices and store in storage” not an accurate summary of the cited paragraph, but to jump to the conclusion that it actually teaches “collecting data representative of a computer profile for achieving an electronic business transaction” is simply untenable in view of the plain language of this reference and is just plain wrong.

In the previous reply Appellant had also objected that there is no support to be found in any of the references for the Examiner’s alleged motivation for the skilled person to combine Christianson, Anderson, and Warwick. The Examiner presently responds in paragraph 9 of the final Action that “it would have been obvious to combine the references because the adding of DMI or WMI interfaces of Warwick would allow to determine the available resources and management application has a better knowledge of its hardware devices [Warwick, col 6, lines 27-33].” Appellant cannot even begin to guess where the “DMI or WMI interfaces of Warwick” should be added to, much less why such adding would somehow anticipate any of the present claims, and is at a complete loss as to what “allow to determine the available resources and

management application has a better knowledge of its hardware devices” actually means. The Examiner’s cryptic assertions continue to fall well short of explaining exactly how the references are to be combined, why the skilled person reading any one of these references would feel compelled to consult any of the other references and, to the best that Appellant can understand it, is not in fact supported by the cited portion of the specification.

In view of all of the above, Appellant respectfully requests that the rejection of claims 5, 16 and 22 be overturned on appeal.

CONCLUSION

For the extensive reasons advanced above, Appellant respectfully contends that each claim is patentable. Therefore, reversal of all rejections and re-opening of the prosecution is respectfully solicited.

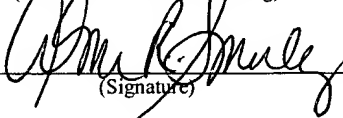
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May 17, 2006

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Alma Smalling

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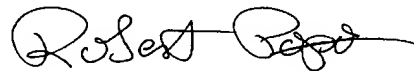


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Respectfully submitted,



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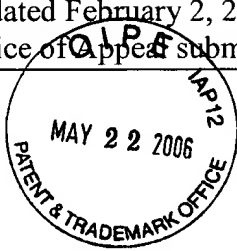
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Attachments

Claims



1. (Previously Presented) Process for assisting a transaction between an user and at least one remote server, the or each remote server being prepared to process at least one predetermined command, said process comprising:

receiving an abstract request formulated at a client computer and containing incomplete information identifying a potential transaction;

analysing said abstract request and mapping it to a corresponding one of said remote servers, and to one of said predetermined command;

constructing an aggregated request based on said mapped command, enriched with data extracted from a local profile;

transmitting said aggregated request to said corresponding server;

receiving the answer from said corresponding server and displaying the answer to the user for completing the transaction.

2. (Previously Presented) Process according to claim 1 characterized in that said aggregate request conforms to the Hypertext Transfer Protocol (HTTP), and contains a query string containing both information extracted from the abstract request, and data extracted from said profile.

3. (Previously presented) Process according to claim 1 wherein said local profile contains profile data that are representative of platform configuration, and are extracted from information available at the Basic Input Output System (BIOS) level.

4. (Original) Process according to claim 3 wherein said

profile data are collected by means of interrogation of standardised systems management interfaces present in the client computer.

5. (Original) Process according to claim 4 wherein said profile parameters are collected by means of an interrogation via the Distributed Management Interface (DMI) or Window Management Interface (WMI).

6. (Previously presented) Process according to claim 1 wherein said local profile comprises data personal to a particular user.

7. (Original) Process according to claim 6 wherein said local agent receives the response from said corresponding server under the form of a Hypertext Markup Language (HTML) page, and pushes it to a web browser for allowing the completion of the transaction between the user and the server.

8. (Previously presented) Process according to claim 1 including regularly downloading a list of servers to which the abstract requests can be mapped thereby permitting modification of the offers that can be made to the user.

9. (Previously presented) Process according to claim 1 wherein the abstract request is formulated in a natural language and a natural language analyser is employed to process the request.

10. (Previously Presented) Process for allowing a transaction between an user and at least one remote server(s), each of said at least one remote server(s) being prepared to process at least one predetermined command(s), said process involving:

detecting a condition of insufficient resources;
in response to said insufficient resources detection,
automatically identifying one predetermined server, and
preparing a request for transaction;
completing said request for transaction with additional
data extracted from a local profile;
transmitting said request for transaction to said
predetermined server;
receiving the answer from said predetermined server and
displaying the answer to the user for completing the
transaction.

11. (Previously Presented) A transaction aid for assisting
a transaction between an user and at least one remote server,
the or each said remote server being prepared to process at
least one predetermined command, said transaction aid comprising
program code elements for

receiving an abstract request formulated at a client
computer and containing incomplete information identifying a
potential transaction;

analysing said abstract request and mapping it to a
corresponding one of said remote servers, and to one of said
predetermined command;

constructing an aggregated request based on said mapped
command, enriched with data extracted from a local profile;

transmitting said aggregated request to said corresponding
server;

receiving the answer from said corresponding server and
displaying the answer to the user for completing the
transaction.

12. (Original) A transaction aid as claimed in claim 11 in
the form of a personal computer, the program code elements being
implemented as a local agent for execution on the computer.

13. (Original) A transaction aid as claimed in claim 12 wherein the local agent is preloaded and arranged to execute when the computer is booted.

14. (Previously presented) A transaction aid computer program product having program code elements for carrying out a method as claimed in claim 1.

15. (Original) A computer program product as claimed in claim 12 in the form of an agent.

16. (Previously presented) A method of using DMI or WMI interfaces for collecting data representative of a computer profile for achieving an electronic business transaction.

17. (Original) An arrangement for providing electronic services comprising:

an agent located on a client computer for receiving a request and identifying electronic services corresponding to the request;

a list server for providing a list of services and one or more rules applicable to said services;

the agent being arranged to repeatedly download the list of available services from the list server and select from the downloaded list one or more services to be made available to a user of the client computer by comparing a local profile with the rules thereby permitting modification at the list server of the offers that can be made to the user.

18. (Previously Presented) Process for assisting a computer hardware and/or software purchase transaction between an user at a local computer and at least one remote server, the at least one remote server being prepared to process at least one

predetermined command, said process comprising:

examining said local computer to create a local computer machine hardware and/or software profile comprising information regarding the local computer's hardware and/or software configuration.

receiving an abstract request formulated at the local computer by the user and containing incomplete information identifying a potential transaction;

analysing said abstract request and mapping it to said at least one remote server, and said at least one predetermined command;

constructing an aggregated request based on said mapped command, enriched with data extracted from said local computer machine hardware and/or software profile, the data extracted relating to the local computer's hardware and/or software configuration in order to facilitate the computer and/or software purchase;

transmitting said aggregated request to said at least one corresponding server;

receiving an answer from said at least one corresponding server and displaying the answer to the user for use in completing the computer hardware and/or software purchase transaction.

19. (Previously Presented) Process according to claim 18 characterized in that said aggregate request conforms to the Hypertext Transfer Protocol (HTTP), and contains a query string containing both information extracted from the abstract request, and data extracted from said local computer machine hardware profile.

20. (Previously Presented) Process according to claim 18 wherein said local computer machine hardware profile contains profile data that are representative of platform hardware

configuration, and are extracted from information available at the Basic Input Output System (BIOS) level.

21. (Previously Presented) Process according to claim 20 wherein said profile data are collected by means of interrogation of standardised systems management interfaces present in the local computer.

22. (Previously Presented) Process according to claim 21 wherein said profile parameters are collected by means of an interrogation via the Distributed Management Interface (DMI) or Window Management Interface (WMI).

23. (Previously Presented) Process according to claim 18 including regularly downloading a list of servers to which the abstract requests can be mapped thereby permitting modification of offers that can be made to the user.

24. (Previously Presented) Process according to claim 18 wherein the abstract request is formulated in a natural language and a natural language analyser is employed to process the request.

25. (Previously Presented) Process for allowing a computer hardware purchase transaction between an user and at least one remote server(s), each of said at least one remote server(s) being prepared to process at least one predetermined command(s), said process involving:

detecting a condition of insufficient hardware resources on a local computer;

in response to said insufficient resources detection, automatically identifying one predetermined server, and preparing a request for transaction;

completing said request for transaction with additional

data extracted from a local profile;

transmitting said request for transaction to said
predetermined server;

receiving the answer from said predetermined server and
displaying the answer to the user for completing the computer
hardware purchase transaction.

There is no evidence submitted with the present Brief on Appeal.

U. S. Appln. No. 09/765,067

Brief on Appeal dated May 17, 2006

In support of Notice of Appeal submitted August 22, 2005

Related Proceedings Appendix Page C-1

There are no other appeals or interferences related to the present application.